

# CLARK ATLANTA UNIVERSITY

## Policy 9.1.32: Timely Submission of Human Resources Payroll Documents



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| <b>CLARK ATLANTA UNIVERSITY</b>  |   |  |
| <b>POLICY and PROCEDURE</b>  | <b>Subject:</b><br>Timely Submission of Human Resources Payroll Documents       |  |
| <b>Department:</b><br>Human Resources and Salary Administration (Payroll) Office | <b>Review/Revise Date:</b><br>HR/Payroll Process Improvement Team<br>07/26/2012 | <b>Issued By:</b><br>Vice President of Finance and Business Services |
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| <b>Carlton E. Brown</b><br>Signature of President                                |   | <b>07/25/12</b><br>Date  |

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## **Policy 9.32: Timely Submission of Human Resources/Payroll Documents**

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### **1.0 Policy Statement**

Clark Atlanta University (the University) strives to ensure that employees, including student workers, are paid timely and accurately. Therefore, all required payroll documents must be received by the Department of Human Resources and the Salary Administration (Payroll) Office in accordance with published schedules for timely processing and for inclusion in the appropriate payroll cycle. The compliance of this policy is critical to meeting payroll processing deadlines, complying with legal pay and tax reporting requirements, maintaining employee satisfaction, and avoiding additional, unscheduled work for Human Resources Department, Payroll Office, and other related departments.

### **2.0 Procedure Narrative**

#### **2.1.0 Established Deadlines**

To aid in payroll system process, the Human Resources Department and the Payroll Office have established deadlines and guidelines in order to ensure completion of the payroll process in a timely and reasonable fashion:

- A. Submitted documents that require one or more levels of approval will need time to be fully processed, forwarded to the Human Resources Department, and in some cases submitted directly to the Payroll Office for processing. Therefore, allowing for the required processing time of submitted documents is crucial.
- B. Submitted documents must be accurate and complete and with the required signature approvals before processing occurs further.
- C. Applicable employee Human Resources/Payroll forms (e.g., W-4, I-9, etc.) must be submitted by the established deadlines to ensure proper setup, withholding and payment.
- D. Employee timesheets (including one-time payments) must be processed timely and employee or student paid on the pay date associated with the work period, as established on the Payroll Office (Salary Administration) pay schedule (see Appendix C for example of Schedule). ([http://www.cau.edu/CMFiles/Docs/2012%20Payroll%20Calendar\\_3.pdf](http://www.cau.edu/CMFiles/Docs/2012%20Payroll%20Calendar_3.pdf)).
- E. Late submissions of documents will be subject to scrutiny and may result in sanctions placed against the particular supervisory employee responsible for the lateness, as outlined in Section 2.4.
- F. Late submissions of critical documents by various departments, offices or units to the Human Resources Department and/or the Payroll Office for the processing of payroll after the University established deadline dates, as reflected in Appendixes 'A' and 'C', must be reviewed and approved by the University Provost for personnel in the Academic Division and the Vice President of Finance and Business Services for all others.
- G. The Human Resources Department will track the late submissions and generate reports of the occurrences at a frequency that would alert senior management of process problems.

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The report will be provided to the Provost and the V. P. for Finance and Business Services for further review and future actions.

- H. Payment made outside of an employee’s “regular” pay schedule should not be promised to that employee for the specified pay period. In the event that it becomes both an exception and is an emergency situation (e.g., posing a threat to life or property) for an employee to be paid now instead of waiting for the next payroll cycle, the employee’s supervisor must contact the Human Resources Department before assuring payment to the employee to confirm that the payment will occur. Adhering to the deadlines listed in this document—as well as allowing additional lead time to obtain necessary signatures—should ensure inclusion in the desired payroll.

### **2.1.1. Missed Normal Payroll Cycle**

Documents received after the established payroll deadline dates will result in payments being made to employees and students **during the next payroll cycle**. Only under extreme circumstances (e.g., threat to life or property) will exceptions be considered by the Human Resources Department.

### **2.2.0 Responsibility of Departments, Offices and Units**

University departments, offices or units have a critical responsibility to submit payroll documents according to published deadlines, including the approval of time and attendance hours and payroll request transactions. University employees are paid for work performed for or on behalf of the University through the Human Resources Department and Payroll Offices. The departments, offices or units, as originators have a responsibility to know where the submitted payroll documents are in the payroll process to resolve discrepancies and ensure employees or students are paid timely.

### **2.2.1 Departmental Contact Points for HR - Payroll Processing**

Each department will have a designated employee as a contact point for human resources payroll processing. This person will be responsible for the preparation and submission of payroll input documents. The contacts will be responsible for:

- a) Accurate and timely submission of all Human Resources and payroll documents. The document must be signed by the department’s, office’s or unit’s authorized approvers or authorized designees for it to be processed by the Human Resources or Payroll Office.
- b) Distribution of payroll information received from the Human Resources Department or Payroll Administration Offices to the all employees within their department.
- c) Referring questions from employees to the Human Resources Department.

The department head should notify the Human Resources Department (PAFs, Supplemental Pay Forms, Student Stipends, etc.) or Payroll Office (time entry) whenever changes occur regarding the primary and backup timekeeper or department personnel authorized to submit payroll data.

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**2.2.2 Timely Submission**

All employee data changes (e.g., timesheets, one-time payments, stipends, overloads, etc.) should be submitted to Human Resources Department as quickly as possible to avoid an incorrect paycheck or no paycheck for the employee. Late submissions include both: (a) items not submitted by the employee to the supervisor in a timely fashion; and (b) items not forwarded by the supervisor/department to the Human Resources Department or the Payroll Office in a timely fashion. *It is ultimately the supervisor's responsibility to ensure that all items are submitted timely to be paid on the established payroll schedule.*

**2.2.3 Internal Controls**

The employee who signs and authorizes the payroll input should not be the same person who actually prepares the input. Also, an employee who is responsible for preparing transactions may not be appointed as a department, office or unit payroll distribution person.

**2.3.0 Employee Responsibility**

Each University employee should take an active role to make sure his/her payroll is processed accurately.

- A. When employees have payroll questions, they should talk to their department administrator or supervisor, who should be able to answer most general payroll questions.
- B. Employees are required to notify the Human Resources Department as soon as possible after a change in address or phone number by: (1) Banner Self-Service (Banner Web); or (2) Human Resources Personal Information Change Form.
- C. Faculty, staff and students should have paychecks direct-deposited into an account at a financial institution (i.e., bank or credit union). New employees should complete a Direct Deposit Authorization Agreement and forward to the Human Resources Department.
- D. Direct Deposit Changes and Cancellation: If a direct deposit employee needs to make a change in personal information or bank information, changes will be made by completing a request through a new Direct Deposit Authorization Agreement. The authorization form, along with a voided check, must be sent (not submitted as a fax) to the Human Resources Department. If received timely, the results of the new request will be reflected on the second pay check following receipt of the new information. Delays in notifying the Human Resources Department and Payroll Office will result in delays in receiving payments. Direct Deposit authorizations, changes, or cancellations will be processed according to the Payroll Calendar.

**2.4.0 Sanctions for Late Submission of Critical Payroll Related Documents**

Late submissions (e.g., timesheets, one-time payments, stipends, overloads, etc.) not processed during the regular payroll schedule will create undue hardships for the affected employee or student and task the Human Resources Department and Payroll Office with the use of already limited resources. Late submissions include both: (a) items not submitted by the employee to the supervisor in a timely fashion; and (b) items not forwarded by the supervisor/department to the Human Resources Department or Payroll Office in a timely fashion. It is ultimately the

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department, office, or unit supervisor's responsibility to ensure that all items are submitted timely and in accordance with the established payroll schedule.

Late submissions will result in progressive disciplinary actions being taken and performance deficiency noted in the respective supervisor's personnel file. In the event that payments must be made due to special processing, the responsible supervisor is required to provide communication back to the affected employee or student as to status of late submitted documents and the impact of any delays.

- A. **Department Supervisor Notification** - Human Resources Department will notify supervisors after the first occurrence of a late submission.
- B. **Department Supervisor/Director/VP Notification** - second and any subsequent, late submissions will result in notifications to the department supervisor, respective Director, Senior Manager of the affected area, the Provost/V.P. of Academic Affairs, and V.P. of Finance and Business Services.
- C. **Fee Assessment** - departments, offices, or units with late submissions will require special processing by the Human Resources Department or the Payroll Office outside the normal payroll cycle. **Consequently, a late fee will be assessed at \$100.00 for each late submission.** This fee assessment will be subsequent to all previous notifications and will be automatically assessed against the document originator's unrestricted funded budgets. The funds collected will be recorded to the University's Contingency Fund.
- D. **Penalty Assessment** - departments with late submissions, as described above, will also be charged for any penalties assessed by tax agencies and/or other government agencies that result from the late processing.

### **2.5.0 Payroll Schedule, and Forms**

The Payroll Calendar and Forms (Appendices 'A' and 'B') are available for review on the Human Resources website ([http://www.cau.edu/HR\\_forms](http://www.cau.edu/HR_forms)). Also, the Human Resources Department and the Payroll Office are always available to assist faculty, staff, and students.

### **3.0 Entities Affected by this Policy**

The policy impacts faculty, staff and student employees working at or for the University.

### **4.0 Definition of Key Terms**

**Banner Human Resources System:** The system used by the Human Resources Department and Salary Administration (Payroll) Office to pay salaries and wages to employees in an accurate and timely manner. The system also provides information for managerial purposes.

**Banner Self-Services (Banner Web):** An online resource tool for employees and students that includes everything from Web Time Entry, paychecks, tax withholding, to leave information, where applicable.

**Direct Deposit:** Payroll directly deposits an employee's paycheck into his/her bank or other financial institution.

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**Payroll Calendar:** Document that shows dates and frequency by which the University processes various types of payrolls at regular intervals during a calendar year. The frequency includes biweekly (hourly staff and students) and semi-monthly (salaried and stipends).

**Data Changes:** Any employee information requesting change or update relevant to the generation of a paycheck or benefits, (i.e. name change, address, phone, add or removal of dependents, etc.)

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**Appendix A**  
**Human Resources and Payroll Forms Required for Processing Payroll**

| FORM   | DUE TO          | COMMENTS   |
|--|-----------------|--|
| <b>New Hire Paperwork (<i>faculty &amp; staff</i>)</b>                                       | Human Resources | Human Resources enters appropriate data in to Banner HR Module   |
| Personnel Requisition Form-or-<br>Personnel Action Form (PAF)                                | Human Resources | Employee Requisition form for new hires and rehires; Payroll Change Forms for reactivations (e.g., adjuncts)             |
| Employee Profile Form  |                 | Completed by all new employees with additional demographic information   |
| Direct Deposit Authorization   |                 | Faculty and staff have paychecks direct-deposited into an account at a financial institution (i.e., bank, credit union). |
| <b>New Hire Paperwork (<i>student employees</i>)</b>   | Human Resources | Deadlines are communicated on each specific required document. Required before student starts work.                      |
| Federal Work-Study Payment Form  | Human Resources | “  |
| Resignation/Termination Form   |                 | “  |
| Student Stipend Payment Form   |                 | “  |
| Direct Deposit Authorization   |                 | “  |
| <b>I-9 Form</b>  | Human Resources | I-9 forms <b>MUST</b> be submitted by the employee on the <b>first day</b> of employment to HR (non-student employees)   |
| <b>Tax-Related Forms</b><br>W-4 Form<br>Residency Information Form<br>GA State Tax Form      | Human Resources | Federal tax withholding elections<br>State tax withholding<br>Used for exemption to local municipal services tax         |
| <b>Benefits-Related Forms (<i>Medical, Dental, Flex, TIAA-CREF, etc.</i>)</b>                | Human Resources | —  |
| <b>Direct Deposit Authorization Form (changes)</b>   | Human Resources | For any new, change, or termination of direct deposit  |
| <b>Supplemental Pay Form, (<i>additional payments, overloads, pay adjustments, etc.</i>)</b> | Human Resources | Human Resources Dept. enters appropriate documented information to the Human Resources/Payroll System.                   |
| <b>LABOR DISTRIBUTION REPORT</b>   |                 | Human Resources Dept. enters appropriate documented information to the Human Resources/Payroll System.                   |
| <b>Leave Request Form</b>  | Payroll         |  |



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| <b>Timesheets</b>                        | Payroll                         | Deadlines for timesheets are indicated on the actual timesheets and on the payroll calendars available on the Human Resources website |
| <b>Family Medical Leave Request Form</b> | Human Resources                 |   |
| <b>Other Unlisted Items</b>              | Human Resources, Payroll Office | Please check on the form, accompanying communication, for Human Resources/ Payroll for the deadline                                   |

**NOTE:** All Human Resources/Payroll forms are due in accordance with the Pay Schedule presented as an example in Appendix B.

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**CLARK ATLANTA UNIVERSITY  
Payroll Schedule Example**

**Appendix B**

**January 2012 through December 2012**

| 2012<br>MONTH    | TYPE OF                 |       | PAYROLL & TIMECARD |           | HUMAN RESOURCES | FINANCIAL AID |
|------------------|-------------------------|-------|--------------------|-----------|-----------------|---------------|
|                  | PAYROLL                 | CYCLE | PAY DATE           | DEADLINE  | DEADLINE        | & TITLE III   |
| <b>January</b>   | Salaried & Stipends     | SM01  | 13-Jan-12          | 6-Jan-12  | 20-Dec-11       |               |
|                  | Hourly Staff & Students | BW01  | 13-Jan-12          | 9-Jan-12  | 21-Dec-11       | 9-Jan-12      |
|                  | Hourly Staff & Students | BW02  | 27-Jan-12          | 23-Jan-12 | 12-Jan-12       | 23-Jan-12     |
|                  | Salaried & Stipends     | SM02  | 30-Jan-12          | 23-Jan-12 | 12-Jan-12       |               |
| <b>February</b>  | Hourly Staff & Students | BW03  | 10-Feb-12          | 6-Feb-12  | 26-Jan-12       | 6-Feb-12      |
|                  | Salaried & Stipends     | SM03  | 15-Feb-12          | 8-Feb-12  | 30-Jan-12       |               |
|                  | Hourly Staff & Students | BW04  | 24-Feb-12          | 20-Feb-12 | 9-Feb-12        | 20-Feb-12     |
|                  | Salaried & Stipends     | SM04  | 29-Feb-12          | 22-Feb-12 | 13-Feb-12       |               |
| <b>March</b>     | Hourly Staff & Students | BW05  | 9-Mar-12           | 5-Mar-12  | 23-Feb-12       | 5-Mar-12      |
|                  | Salaried & Stipends     | SM05  | 15-Mar-12          | 8-Mar-12  | 28-Feb-12       |               |
|                  | Hourly Staff & Students | BW06  | 23-Mar-12          | 19-Mar-12 | 8-Mar-12        | 19-Mar-12     |
|                  | Salaried & Stipends     | SM06  | 30-Mar-12          | 23-Mar-12 | 14-Mar-12       |               |
| <b>April</b>     | Hourly Staff & Students | BW07  | 5-Apr-12           | 2-Apr-12  | 22-Mar-12       | 2-Apr-12      |
|                  | Salaried & Stipends     | SM07  | 13-Apr-12          | 5-Apr-12  | 27-Mar-12       |               |
|                  | Hourly Staff & Students | BW08  | 20-Apr-12          | 16-Apr-12 | 5-Apr-12        | 16-Apr-12     |
|                  | Salaried & Stipends     | SM08  | 30-Apr-12          | 23-Apr-12 | 12-Apr-12       |               |
| <b>May</b>       | Hourly Staff & Students | BW09  | 4-May-12           | 30-Apr-12 | 19-Apr-12       | 30-Apr-12     |
|                  | Salaried & Stipends     | SM09  | 15-May-12          | 8-May-12  | 27-Apr-12       |               |
|                  | Hourly Staff & Students | BW10  | 18-May-12          | 14-May-12 | 3-May-12        | 14-May-12     |
|                  | Salaried & Stipends     | SM10  | 30-May-12          | 23-May-12 | 14-May-12       |               |
| <b>June</b>      | Hourly Staff & Students | BW11  | 1-Jun-12           | 29-May-12 | 17-May-12       | 29-May-12     |
|                  | Salaried & Stipends     | SM11  | 15-Jun-12          | 8-Jun-12  | 29-May-12       |               |
|                  | Hourly Staff & Students | BW12  | 15-Jun-12          | 11-Jun-12 | 31-May-12       | 11-Jun-12     |
|                  | Salaried & Stipends     | SM12  | 29-Jun-12          | 22-Jun-12 | 13-Jun-12       |               |
|                  | Hourly Staff & Students | BW13  | 29-Jun-12          | 25-Jun-12 | 14-Jun-12       | 25-Jun-12     |
| <b>July</b>      | Hourly Staff & Students | BW14  | 13-Jul-12          | 9-Jul-12  | 27-Jun-12       | 9-Jul-12      |
|                  | Salaried & Stipends     | SM13  | 13-Jul-12          | 6-Jul-12  | 26-Jun-12       |               |
|                  | Hourly Staff & Students | BW15  | 27-Jul-12          | 23-Jul-12 | 12-Jul-12       | 23-Jul-12     |
|                  | Salaried & Stipends     | SM14  | 30-Jul-12          | 23-Jul-12 | 12-Jul-12       |               |
| <b>August</b>    | Hourly Staff & Students | BW16  | 10-Aug-12          | 6-Aug-12  | 26-Jul-12       | 6-Aug-12      |
|                  | Salaried & Stipends     | SM15  | 15-Aug-12          | 8-Aug-12  | 30-Jul-12       |               |
|                  | Hourly Staff & Students | BW17  | 24-Aug-12          | 20-Aug-12 | 9-Aug-12        | 20-Aug-12     |
|                  | Salaried & Stipends     | SM16  | 30-Aug-12          | 23-Aug-12 | 14-Aug-12       |               |
| <b>September</b> | Hourly Staff & Students | BW18  | 7-Sep-12           | 4-Sep-12  | 23-Aug-12       | 4-Sep-12      |
|                  | Salaried & Stipends     | SM17  | 14-Sep-12          | 7-Sep-12  | 29-Aug-12       |               |
|                  | Hourly Staff & Students | BW19  | 21-Sep-12          | 17-Sep-12 | 6-Sep-12        | 17-Sep-12     |
|                  | Salaried & Stipends     | SM18  | 28-Sep-12          | 21-Sep-12 | 12-Sep-12       |               |
| <b>October</b>   | Hourly Staff & Students | BW20  | 5-Oct-12           | 1-Oct-12  | 20-Sep-12       | 1-Oct-12      |
|                  | Salaried & Stipends     | SM19  | 15-Oct-12          | 8-Oct-12  | 27-Sep-12       |               |
|                  | Hourly Staff & Students | BW21  | 19-Oct-12          | 15-Oct-12 | 4-Oct-12        | 15-Oct-12     |
|                  | Salaried & Stipends     | SM20  | 30-Oct-12          | 23-Oct-12 | 12-Oct-12       |               |
| <b>November</b>  | Hourly Staff & Students | BW22  | 2-Nov-12           | 29-Oct-12 | 18-Oct-12       | 29-Oct-12     |
|                  | Salaried & Stipends     | SM21  | 15-Nov-12          | 8-Nov-12  | 30-Oct-12       |               |
|                  | Hourly Staff & Students | BW23  | 16-Nov-12          | 12-Nov-12 | 1-Nov-12        | 12-Nov-12     |
|                  | Salaried & Stipends     | SM22  | 30-Nov-12          | 21-Nov-12 | 12-Nov-12       |               |
|                  | Hourly Staff & Students | BW24  | 30-Nov-12          | 26-Nov-12 | 13-Nov-12       | 26-Nov-12     |
| <b>December</b>  | Hourly Staff & Students | BW25  | 14-Dec-12          | 10-Dec-12 | 29-Nov-12       | 10-Dec-12     |
|                  | Salaried & Stipends     | SM23  | 14-Dec-12          | 7-Dec-12  | 28-Nov-12       |               |
|                  | Hourly Staff & Students | BW26  | 28-Dec-12          | 19-Dec-12 | 10-Dec-12       | 19-Dec-12     |
|                  | Salaried & Stipends     | SM24  | 28-Dec-12          | 19-Dec-12 | 10-Dec-12       |               |